

Halton Hawks FC

Serious Occurrence Report Review & Resolution Process



SERIOUS OCCURRENCE INVESTIGATION PROCESS

| | |
|----------------|--|
| Step #1 | Receiving the official complaint |
| Step #2 | Notify the Executive Director immediately |
| Step #3 | Planning the investigation |
| Step #4 | Conducting the interviews / Gathering of evidence |
| Step #5 | Analyzing the information & evidence gathered |
| Step #6 | Documenting the investigation |
| Step #7 | Complete the investigation report |

STEPS IN PLANNING

| | Identify the allegations | Select the means |
|----------------|--|-----------------------------------|
| Step #1 | The specific issues | Documents / Tools / Report |
| Step #2 | Applicable corporate policies | Interviews |
| Step #3 | Applicable contract(s) | Confidentiality – location |
| Step #4 | Applicable collective agreement – N/A | Other |
| Step #5 | Applicable legislation | ESA, OHRC |

FUNNEL APPROACH (The Pyramid)

| | | |
|----------------------------|-----------------------------------|---|
| Open phase | Meeting the plaintiff | <ul style="list-style-type: none"> ➤ Learn all relevant evidence ➤ Ask open-ended questions ➤ Ask: ➤ Who? / What? / Where? / How? / Why? |
| Clarification phase | If required | <ul style="list-style-type: none"> ➤ Get clarification of details |
| Pinning down phase | Closing the door | <ul style="list-style-type: none"> ➤ Make sure you have everything ➤ Recap and ask: <ul style="list-style-type: none"> ➤ Is there anything else I should know? ➤ Is there anyone else I should speak to? |
| Final phase | Report / Recommendation(s) | <ul style="list-style-type: none"> ➤ Make your recommendation(s) ➤ Complete the Investigation Report ➤ Communicate your findings |

FINDINGS WORKSHEET

| | ALLEGATION(S) | EVIDENCE | REASONING | SUBSTANTIATED | |
|-----------|----------------------|-----------------|------------------|------------------------------|-----------------------------|
| 1 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 6 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 8 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 9 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 10 | | | | <input type="checkbox"/> Yes | <input type="checkbox"/> No |